

Express Mail No. EV522679226US

Attorney Docket No. 108298504US1

Disclosure No. 99-0791.01/US

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-00321

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/624,382
Filing Date	July 21, 2003
First Named Inventor	Vishnu K. Agarwal
Art Unit	3724
Examiner Name	Timothy V. Eley
Attorney Docket Number	108298504US1

Total Number of Pages In This Submission 13*

ENCLOSURES (Check all that apply)

- | | | |
|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form
<input checked="" type="checkbox"/> Fee Attached
<input type="checkbox"/> Amendment/Reply
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Extension of Time Request
<input type="checkbox"/> Express Abandonment Request
<input checked="" type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Response to Missing Parts/
Incomplete Application
<input type="checkbox"/> Response to Missing Parts
under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)
<input type="checkbox"/> Licensing-related Papers
<input type="checkbox"/> Petition
<input type="checkbox"/> Petition to Convert to a
Provisional Application
<input type="checkbox"/> Power of Attorney, Revocation
Change of Correspondence Address
<input type="checkbox"/> Terminal Disclaimer
<input type="checkbox"/> Request for Refund
<input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication
to Group
<input type="checkbox"/> Appeal Communication to Board
of Appeals and Interferences
<input type="checkbox"/> Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Other Enclosures:
1) Form 1449
2) Cited Reference (1)
3) Return Receipt Postcard |
|---|--|--|

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Paul T. Parker Registration No. 38,264
Signature	<i>Paul Parker</i>
Date	10/9/04

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name			
Signature		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

* Number of pages does not include Cited Reference

Attorney Docket No. 108298504US1
Disclosure No. 99-0791.01/US

PTO/SB/17 (10-03)

Approved for use through 7/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL

for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

Complete if Known

Application Number	10/624,382-Conf. #6835
Filing Date	July 21, 2003
First Named Inventor	Vishnu K. Agarwal
Examiner Name	Timothy V. Eley
Art Unit	3724
Attorney Docket No.	108298504US1

METHOD OF PAYMENT (check all that apply)

X	Check		Credit Card		Money Order		Other		None
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☒ Deposit Account:

Deposit
Account
Number

50-0665

Deposit
Account
Name

Perkins Coie LLP

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below	<input checked="" type="checkbox"/> Credit any overpayments
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☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)	(\$)	0.00
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2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	x	=
Independent Claims	-3** =	x	=
Multiple Dependent			=

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)	(\$)	0.00
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****or number previously paid, if greater; For Reissues, see above**

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge – late filing fee or oath	
1052	50	2052	25	Surcharge – late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (limes number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	(\$)
					180.00

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)	(\$)	180.00
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SUBMITTED BY

Name (Print/Type)	Paul T. Parker
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Registration No.
(Attorney/Agent)

38.264

(Complete (if applicable))

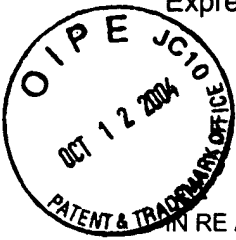
Telephone	(206) 359-3258
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Signature

Paul Parker

Date _____

10/6/04



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: VISHNU K. AGARWAL

APPLICATION NO.: 10/624,382

FILED: JULY 21, 2003

FOR: **APPARATUSES AND METHODS FOR IN-SITU OPTICAL ENDPOINTING ON WEB-FORMAT PLANARIZING MACHINES IN MECHANICAL OR CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC-DEVICE SUBSTRATE ASSEMBLIES**

EXAMINER: TIMOTHY V. ELEY

ART UNIT: 3724

CONF. NO: 6835

Information Disclosure Statement After First Office Action but Before Final Action or Notice of Allowance – 37 C.F.R. § 1.97(c)

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Timing of Submission

The information transmitted herewith is being filed *after* three months of the filing date of this application or after the mailing date of the first Office action on the merits, whichever occurred last, but *before* the mailing date of either a final action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, whichever occurs first. The references listed on the enclosed Form PTO-1449 (modified) may be material to the examination of this application; the Examiner is requested to make them of record in the application.

2. Cited Information

☒ Copies of the following references are enclosed:

☐ All cited references

☒ The following: WO 99/56078 A1

10/19/2004 RMEBRANT 00000082 10624382

01 FC:1806

180.00 OP

- ☒ Copies of the following references can be found in parent U.S. Application No. 09/589,380:
- ☐ All cited references
- ☒ References marked by two asterisks (**)
- ☒ This application was filed after 30 June 2003 and no copies of U.S. patents nor published applications are enclosed (See Notice of Deputy Commissioner Kunin on 11 July 2003).

3. Effect of Information Disclosure Statement (37 C.F.R. § 1.97(h))

This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the cited information is, or is considered to be, material to patentability. In addition, applicant does not admit that any enclosed item of information constitutes prior art to the subject invention and specifically reserves the right to demonstrate that any such reference is not prior art.

4. Fee Payment (37 C.F.R. § 1.97(c)) or Certification (37 C.F.R. § 1.97(e))

- ☒ Applicant elects to pay the fee under 37 C.F.R. § 1.17(p) \$180.00.
- ☒ Check enclosed for \$180.00.
- ☐ Please charge the above fee(s) to Deposit Account No. 50-0665 this paper is provided in triplicate.
- ☒ Please charge any underpayment for timely filing of this paper to Deposit Account No. 50-0665.

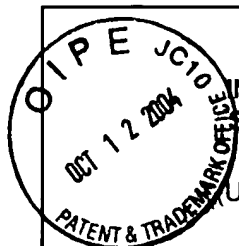
Respectfully submitted,
Perkins Coie LLP

Date: 10/0/04

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Registration No. 38,264

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(206) 359-8000


**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

 Form PTO-1449 (Modified)
 (Use several sheets if necessary)

				COMPLETE IF KNOWN	
				Application Number	10/624,382
				Confirmation Number	6835
				Filing Date	July 21, 2003
				First Named Inventor	Vishnu K. Agarwal
				Group Art Unit	3724
				Examiner Name	Timothy V. Eley
Sheet	1	of	9	Attorney Docket No.	108298504US1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		4,145,703		Blanchard et al.	03/20/1979	
		4,200,395		Smith et al.	04/29/1980	
		4,203,799		Sugawara et al.	05/20/1980	
		4,305,760		Trudel	12/15/1981	
		4,358,338		Downey et al.	11/09/1982	
		4,367,044		Booth Jr. et al.	01/04/1983	
		4,377,028		Imahashi	03/22/1983	
		4,422,764		Eastman	12/27/1983	
		4,498,345		Dyer et al.	02/12/1985	
		4,501,258		Dyer et al.	02/26/1985	
		4,502,459		Dyer	03/05/1985	
		4,640,002		Phillips et al.	02/02/1987	
		4,660,980		Takabayashi et al.	04/28/1987	
		4,717,255		Ulbers	01/05/1988	
		4,755,058		Shaffer	07/05/1988	
		4,879,258		Fisher	11/07/1989	
		4,946,550		Van Laarhoven	08/07/1990	
		4,971,021		Kubotera et al.	11/20/1990	
		5,020,283		Tuttle	06/04/1991	
		5,036,015		Sandhu et al.	07/30/1991	
		5,069,002		Sandhu et al.	12/03/1991	
		5,081,796		Schultz	01/21/1992	
		5,163,334		Li et al.	11/17/1992	
		5,196,353		Sandhu et al.	03/23/1993	
		5,220,405		Barbee et al.	06/15/1993	
		5,222,329		Yu	06/29/1993	
		5,232,875		Tuttle et al.	08/03/1993	
		5,240,552		Yu et al.	08/31/1993	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application(s).	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT Form PTO-1449 (Modified) (Use several sheets if necessary)				COMPLETE IF KNOWN	
				Application Number	10/624,382
				Confirmation Number	6835
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				First Named Inventor	Vishnu K. Agarwal
				Group Art Unit	3724
				Examiner Name	Timothy V. Eley
				Attorney Docket No.	108298504US1
Sheet	2	of	9		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		5,244,534		Yu et al.	09/14/1993	
		RE 34,425		Schultz	11/02/1993	
		5,314,843		Yu et al.	05/24/1994	
		5,324,381		Nishiguchi	06/28/1994	
		5,369,488		Morokuma	11/29/1994	
		5,393,624		Ushijima	02/28/1995	
		5,413,941		Koos et al.	05/09/1995	
		5,433,649		Nishida	07/18/1995	
		5,433,651		Lustig et al.	07/18/1995	
		5,439,551		Meikle et al.	08/08/1995	
		5,449,314		Meikle et al.	09/12/1995	
		5,461,007		Kobayashi	10/24/1995	
		5,465,154		Levy	11/07/1995	
		5,486,129		Sandhu et al.	01/23/1996	
		5,514,245		Doan et al.	05/07/1996	
		5,540,810		Sandhu et al.	07/30/1996	
		5,573,442		Morita et al.	11/12/1996	
		5,609,718		Meikle	03/11/1997	
		5,616,069		Walker et al.	04/01/1997	
		5,618,381		Doan et al.	04/08/1997	
		5,618,447		Sandhu	04/08/1997	
		5,624,303		Robinson	04/29/1997	
		5,632,666		Peratello et al.	05/27/1997	
		5,643,044		Lund	07/01/1997	
		5,643,048		Iyer	07/01/1997	
		5,645,471		Strecker	07/08/1997	
		5,645,682		Skrovan	07/08/1997	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application(s).	

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				Application Number	10/624,382
				Confirmation Number	6835
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				First Named Inventor	Vishnu K. Agarwal
				Group Art Unit	3724
				Examiner Name	Timothy V. Eley
				Attorney Docket No.	108298504US1
Sheet	3	of	9		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		5,650,619		Hudson	07/22/1997	
		5,655,951		Meikle et al.	08/12/1997	
		5,658,183		Sandhu et al.	08/19/1997	
		5,658,190		Wright et al.	08/19/1997	
		5,663,797		Sandhu	09/02/1997	
		5,667,424		Pan	09/16/1997	
		5,668,061		Herko et al.	09/16/1997	
		5,679,065		Henderson	10/21/1997	
		5,681,204		Kawaguchi et al.	10/28/1997	
		5,681,423		Sandhu et al.	10/28/1997	
		5,690,540		Elliott et al.	11/25/1997	
		5,698,455		Meikle et al.	12/16/1997	
		5,700,180		Sandhu et al.	12/23/1997	
		5,702,292		Brunelli et al.	12/30/1997	
		5,725,417		Robinson	03/10/1998	
		5,730,642		Sandhu et al.	03/24/1998	
		5,736,427		Henderson	04/07/1998	
		5,738,562		Doan et al.	04/14/1998	
		5,738,567		Manzonie et al.	04/14/1998	
		5,747,386		Moore	05/05/1998	
		5,777,739		Sandhu et al.	07/07/1998	
		5,779,522		Walker et al.	07/14/1998	
		5,782,675		Southwick	07/21/1998	
		5,791,969		Lund	08/11/1998	
		5,792,709		Robinson et al.	08/11/1998	
		5,795,218		Doan et al.	08/18/1998	
		5,795,495		Meikle	08/18/1998	
EXAMINER				DATE CONSIDERED		
*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application(s).						

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Sheet	4	of	9	Attorney Docket No.	108298504US1

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		5,798,302		Hudson et al.	08/25/1998	
		5,801,066		Meikle	09/01/1998	
		5,823,855		Robinson	10/20/1998	
		5,830,806		Hudson et al.	11/03/1998	
		5,842,909		Sandhu et al.	12/02/1998	
		5,856,336		Skrovan	12/08/1998	
		5,851,135		Sandhu et al.	12/22/1998	
		5,855,804		Walker	01/05/1999	
		5,865,665		Yueh	02/02/1999	
		5,868,896		Robinson et al.	02/09/1999	
		5,871,392		Meikle et al.	02/16/1999	
		5,879,222		Robinson	03/09/1999	
		5,879,226		Robinson	03/09/1999	
		5,882,248		Wright et al.	03/16/1999	
		5,893,754		Robinson et al.	04/13/1999	
		5,893,796		Birang et al.	04/13/1999	
		5,894,852		Gonzales et al.	04/20/1999	
		5,899,792		Yagi	05/04/1999	
		5,910,043		Manzonie et al.	06/08/1999	
		5,910,846		Sandhu	06/08/1999	
		5,930,699		Bhatia	07/27/1999	
		5,934,973		Boucher et al.	08/10/1999	
		5,934,974		Tzeng	08/10/1999	
		5,934,980		Koos et al.	08/10/1999	
		5,936,733		Sandhu et al.	08/10/1999	
		5,938,801		Robinson	08/17/1999	
		5,949,927		Tang	09/07/1999	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application(s).	

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Sheet	5	of	9		

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		NUMBER	Kind Code (if known)			
		5,954,912		Moore	09/21/1999	
		5,981,396		Robinson et al.	10/09/1999	
		5,972,792		Hudson	10/26/1999	
		5,976,000		Hudson	11/02/1999	
		5,980,363		Meikle et al.	11/09/1999	
		5,989,470		Doan et al.	11/23/1999	
		5,994,224		Sandhu et al.	11/30/1999	
		5,997,384		Blalock	12/07/1999	
		6,000,996		Fujiwara	12/14/1999	
		6,006,739		Akram et al.	12/28/1999	
		6,007,408		Sandhu	12/28/1999	
		6,036,586		Ward	03/14/2000	
		6,039,633		Chopra	03/21/2000	
		6,040,111		Karasawa et al.	04/04/2000	
		6,045,439		Birang et al.	04/04/2000	
		6,046,111		Robinson	04/04/2000	
		6,054,015		Brunelli et al.	04/25/2000	
		6,057,602		Hudson et al.	05/02/2000	
		6,068,539		Bajaj et al.	05/30/2000	
		6,075,606		Doan	06/13/2000	
		6,083,085		Lankford	07/04/2000	
		6,102,775		Ushio et al.	08/15/2000	
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				Filing Date	July 21, 2003
				First Named Inventor	Vishnu K. Agarwal
				Group Art Unit	3724
				Examiner Name	Timothy V. Eley
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